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Date: May 4, 2004

Signature: Jonathan S. Caplan, Reg. No. 38,094

Sir:

Transmitted herewith for filing is a Preliminary Amendment.

Entitled: System and Method for Creating a Cost-Effective and Efficient Retail Electric Power Exchange/Energy Service Provider Load Optimization Exchange and Network Therefor
Applicant: Carl Robert Aron et al.
Serial No.: 10/669,518
Filed: September 24, 2003

Enclosed are:

- ☐ ___ sheets of specification, including ___ sheets of claims and ___ sheet of Abstract.
☐ Applicant hereby claims small entity status under 37 C.F.R. §§ 1.9 and 1.27
☐ Information Disclosure Statement, PTO Form 1449
☐ Executed Inventors Declaration And Power of Attorney, Substitute Power Of Attorney from parent application and Attorney Change of Address and Power of Attorney.
☒ Preliminary Amendment.

The filing fee has been calculated as shown below:

	(Col. 1)	(Col. 2)		SMALL	ENTITY		OTHER THAN A SMALL ENTITY
FOR:	NO. FILED	NO. EXTRA		RATE	FEE		RATE FEE
BASIC FEE		*		x	\$	OR	\$
TOTAL CLAIMS	80-20	60		x 9	\$540	OR	x 18 \$
INDEP CLAIMS	15-3	12		x 43	\$516	OR	x 86 \$
MULTIPLE DEPENDENT CLAIM PRESENTED				x 145	\$	OR	x 290 \$
* If the difference in Col. 1 is less than zero, enter "0" in Col. 2				TOTAL	\$1056	OR	TOTAL \$

☒ The Director is hereby authorized to charge payment of **\$1056.00** associated with this communication or credit any overpayment to Deposit Account No. **50-0540**. A duplicate copy of this sheet is enclosed.

☒ Address all future communications to: **CUSTOMER NO. 31013**

Respectfully submitted,

Date: May 4, 2004

Jonathan S. Caplan (Reg. No. 38,094)
Kramer Levin Naftalis & Frankel LLP
919 THIRD AVENUE
NEW YORK, N.Y. 10022
(212) 715-9488

CUSTOMER NO.: 31013

PATENT
104841-00002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Carl Robert Aron et al.
Serial No. : 10/669,518
Filed : September 24, 2003
For : SYSTEM AND METHOD FOR CREATING A COST-EFFECTIVE AND EFFICIENT RETAIL ELECTRIC POWER EXCHANGE/ENERGY SERVICE PROVIDER LOAD OPTIMIZATION EXCHANGE AND NETWORK THEREFOR

919 Third Avenue
New York, New York 10022

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22315-1450

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Date: May 4, 2004

Signature: 
Jonathan S. Caplan, Reg. No. 38,004

PRELIMINARY AMENDMENT

Sir:

Prior to examination, please enter this Preliminary Amendment.

Amendments to the specification begins at page 2.

Amendments to the claims begin at page 7.

Remarks begin at page 26.

05/07/2004 HTECKLU1 00000040 500540 10669518

01 FC:2202 540.00 DA
02 FC:2201 516.00 DA